







# 2013 Rural/Tribal Promise Zone Application Guide

The Promise Zones initiative will revitalize high-poverty communities across the country by attracting private investment, improving affordable housing, improving educational opportunities, creating jobs, reducing serious and violent crime, and assisting local and tribal leaders in navigating federal programs and cutting through red tape.

Applications must provide a clear description of how the Promise Zones designation would accelerate and strengthen efforts at comprehensive community revitalization. Applications must provide clearly labeled sections:

- Required: A narrative of not more than 25 total pages that includes the most important information for purposes of Promise Zone selection. The narrative will be the main source for scoring; and
- Optional: Additional documentation of not more than 25 pages included as attachments (where feasible, provide in summaries or pull most relevant text, charts, graphs instead of including large documents).

All lead organizations of designated Promise Zones, implementation partners in the Promise Zone strategies and any federal grantees whose federally funded work contributes to Promise Zone strategies will be required to participate in evaluations of Promise Zone and related federal grant activities that may be conducted from time to time. Lead organizations, implementation partners and federal grantees contributing to Promise Zones must agree to work with evaluators designated by federal agencies, including providing access to program personnel and all relevant programmatic and administrative data as specified by the evaluator(s) under the direction of a federal agency, during and after the term of the Promise Zone designation and/or grant agreement.









SUMMARY INFORMATION	SUBMISSIONS, SECTION I
LEAD APPLICANT	
<ul> <li>Due to the nature of the initiative, Promise Zone activities are likely to be carried out by a variety of organizations and organization types, including government entities, nonprofit organizations and for-profit organizations.</li> <li>Eligible lead applicants for Promise Zone designations include:</li> <li>1. Local or tribal governments (which includes county, city, town, township, parish, village, governmental authority or other general-purpose political subdivision of a state or tribe or any combination thereof)</li> <li>2. Non-profit organizations or tribal housing authorities applying in partnership with local and/or tribal government</li> </ul>	Required: Complete the Abstract form posted at <a href="https://www.hud.gov/promisezones">www.hud.gov/promisezones</a> . Within the Abstract form, provide an Executive Summary that describes how the Promise Zone designation would accelerate and strengthen existing efforts at comprehensive community revitalization. (Suggested one page limit for the Executive Summary)
The application must clearly identify the lead applicant and provide the email and contact information of the lead applicant or designated official of the lead applicant.	









## RURAL QUALIFYING CRITERIA (see page 5 for Tribal Qualifying Criteria) SUBMISSIONS, SECTION II

All of the following must be present for a proposed Promise Zone for the application to be eligible for designation:

- Promise Zones must encompass one or more census tract(s)
  across a contiguous geography and include one or more nonmetro counties; they do not need to include an entire county or
  counties.
- 2. The overall poverty rate within the Promise Zone must be over 20 percent.
- 3. The Promise Zone must contain at least one census tract with a poverty rate above 30 percent.
- 4. Promise Zone boundaries must encompass a population of at least 6,000 but no more than 200,000 residents.
- 5. Proposed boundaries must have significant overlap with the existing boundaries of a Promise Neighborhoods implementation grant or Stronger Economies Together (SET) region; the lead grantee and major partner or partners implementing activities under those grants must play substantial roles in the Promise Zone application, such as lead applicant, implementation partner or other partner making significant commitments.
- 6. Local leadership of jurisdictions represented in the Promise Zone must demonstrate commitment to the Promise Zone effort.
- 7. For applications across jurisdictional lines, a clear lead applicant must be identified, and commitment must be demonstrated by leadership of all jurisdictions involved.

*Note:* If your application does not meet all of these qualifying criteria, it will not be considered for designation as a Promise Zone.

*Required:* Zone Maps. Provide a to-scale map that clearly labels the proposed Promise Zone in the context of existing county and other jurisdictional lines, towns, and/or census tracts.

Applicants should submit a map that clearly labels the following information:

- a. The eligible Promise Zone;
- The boundaries of other federal placebased investments (i.e., those programs described in #5 on the left);
- c. Other useful information to place the Promise Zone in the geographic context of county/parish or jurisdiction: schools, health centers, and other community or regional assets. Additional information may also include any crime hot spots or concentration of crime locations, health hazards, and revitalization activity underway or planned.

The optional Promise Zones mapping tool is located at <a href="http://www.huduser.org/PZ2013/promiseZone.html">http://www.huduser.org/PZ2013/promiseZone.html</a>. The









tool will allow applicants to draw a community-level boundary and will send an email that provides data on poverty level, highest census tract poverty level, population, as well as a community-level map. It will not show the boundaries of current federal place-based investments. See Section III for more information on the mapping tool data. If using, provide the data sheet produced from the mapping tool to demonstrate poverty levels and the population levels.

*Note:* Maps and the data sheet will not count toward the 25 page narrative or additional materials page limits.

Required: Local Leadership Support. Provide a letter that demonstrates the commitment from local leadership of the jurisdictions represented in the Promise Zone. For applications across jurisdictional lines, a commitment must be demonstrated by leadership of all jurisdictions involved.<sup>1</sup>

*Note:* Letters of support will not count toward the 25 page narrative or additional materials page limits.

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<sup>&</sup>lt;sup>1</sup> To the extent that application components require resolutions, approvals or other actions by governing boards, legislative bodies, regulatory bodies or other entities with fixed schedules for consideration of such actions, and such actions cannot be taken prior to the application deadline, applicants must submit the following information by the application deadline: description of the action to be taken, date on which the action is expected, and information necessary to demonstrate its relevance to the proposal. Depending upon the importance of such actions to a selected applicant's Promise Zone strategy, the agencies may make the Promise Zone designation contingent upon the receipt of evidence that the action has been taken.









### TRIBAL QUALIFYING CRITERIA

All of the following must be present for a proposed Promise Zone to be designated:

- 1. Tribal<sup>2</sup> applicants can define boundaries which may encompass: one or more census tracts and nearby tribally-owned areas; or reservations; or consortia of tribal and non-tribal jurisdictions.
- The overall poverty rate within the Promise Zone must be over 20 percent.
- 3. Promise Zone boundaries must encompass a population of no more than 200,000 residents.
- 4. Proposed boundaries must have significant overlap with the existing boundaries of a Stronger Economies Together (SET) region, a Rural Jobs Accelerator grant, or Partnership for Sustainable Communities (Rural Planning Grant); and the lead grantee and major partner or partners implementing activities under those grants must play substantial roles in the Promise Zone application, such as lead applicant, implementation partner or other partner making significant commitments.
- 5. Local leadership and tribal leadership of jurisdictions represented in the Promise Zone must demonstrate commitment to the Promise Zone effort.
- 6. For applications across jurisdictional lines, a clear lead applicant must be identified, and commitment must be demonstrated by leadership of all jurisdictions involved.

# **SUBMISSIONS, SECTION II**

*Note:* If your application does not meet all of these qualifying criteria, it will not be considered for designation as a Promise Zone.

Required: Zone Maps. Provide a to-scale map that clearly labels the proposed Promise Zone in the context of reservation and tribal land boundaries, town, and/or census tracts.

Applicants should submit a map that clearly labels the following information:

- a. The eligible Promise Zone;
- b. The boundaries of other federal place-based investments (Those programs described in #4 on the left)
- c. Other useful information to place the Promise Zone in the geographic context of county/parish or jurisdiction: schools, health centers, and other community or regional assets. Additional information may also include any crime hot spots or concentration of crime locations, health hazards, and revitalization activity underway or planned.

The optional Promise Zones mapping tool is located at <a href="http://www.huduser.org/PZ2013/promiseZone.html">http://www.huduser.org/PZ2013/promiseZone.html</a>. The

<sup>&</sup>lt;sup>2</sup> Federally-recognized tribes, Alaska Native Corporations and Alaska Native governments as well as consortia approved by tribal resolution/by-laws or equivalent.









tool will allow applicants to draw a community-level boundary and will send an email that provides data on poverty level, highest census tract poverty level, population, as well as a community-level map. It will not show the boundaries of current federal place-based investments. See Section III for more information on the mapping tool data. If using, provide the data sheet produced from the mapping tool to demonstrate poverty levels and the population levels.

*Note:* Maps and the data sheet will not count toward the 25 page narrative or additional materials page limits.

Required: Local Leadership Support. Provide documentation, such as a tribal resolution, that demonstrates the commitment from local and tribal leadership. For applications across jurisdictional lines, a commitment must be demonstrated by leadership of all jurisdictions involved.<sup>3</sup>

*Note:* Letters of support will not count toward the 25 page narrative or additional materials page limits.

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<sup>&</sup>lt;sup>3</sup> To the extent that application components require resolutions, approvals or other actions by local governing boards, legislative bodies, tribal councils, regulatory bodies or other entities with fixed schedules for consideration of such actions, and such actions cannot be taken prior to the application deadline, applicants must submit the following information by the application deadline: description of the action to be taken, date on which the action is expected, and information necessary to demonstrate its relevance to the proposal. Depending upon the importance of such actions to a selected applicant's Promise Zone strategy, the agencies may make the Promise Zone designation contingent upon the receipt of evidence that the action has been taken.









# **SELECTION CRITERIA, 100 points total**

POINTS	FACTORS	
5	NEED	SUBMISSIONS, SECTION III
	The application must include information sufficient to demonstrate:	
	The applicant's submission materials must contain sufficient information to verify the following data within the boundaries of the geographic area proposed as a Promise Zone, to the greatest level of specificity possible using available data sources. Points will be awarded for:  1. Higher poverty rate/ELI rate — Concentration of households in poverty or with extremely low incomes (whichever is greater) residing within the Promise Zone;  2. Higher Part I serious and violent crime rate — Rate of Part I serious and violent crimes within the Promise Zone; and  3. Lower employment rate — Employment rate for working-age adults within the Promise Zone.	Required: Narrative describing data points for the proposed Promise Zone geographic area. The mapping tool used in the Qualifying Criteria section will provide data points for poverty and employment rates. It does not contain crime data. Crime data can be ascertained by the local law enforcement agency and should cover the most recent 10-year period, to the extent the data is available, and preferably break out the number of incidences for serious and violent crime. Secondary sources or locally published data can supplement the mapping tool. Additionally, submit this data in the Abstract form. (Suggested 1 page limit)









40	STRATEGY	SUBMISSIONS, SECTION IV	
	The application must include information sufficient to demonstrate:		
10	1. The quality of the applicant's current assessment of the needs and assets of the proposed Promise Zone, including level of detail on the needs and assets of particular segments of the targeted population and of the overall resident population; level of detail for relevant crime data; and identification of needs and assets related to civic or tribal institutions, existing regional economic growth efforts and industries, private economic or tribally-owned economic activity, access to capital and other characteristics.	Required: Narrative summarizing needs and assets of the community. (Suggested limit of two pages)  Optional: Attachments providing detail on community needs and assets referenced in the narrative.	
20	2. Soundness of the applicant's overall strategy for revitalizing the Promise Zone (and achieving Promise Zone outcomes) such that the Promise Zone offers children the safe, healthy environment they need to succeed, residents with quality choices of where to live and private actors with incentives to invest within the Promise Zone. In considering ratings under this factor, reviewers will consider items such as:	Required: Narrative explaining the applicant's overall approach to achieving the goals of creating jobs, increasing economic activity, improving educational opportunities, improving public safety, reducing poverty, and leveraging private capital. (Suggested limit of five pages)	
	<ul> <li>a. Responsiveness of the strategy to the Promise Zone's needs and assets;</li> <li>b. Extent to which the strategy targets and aligns existing efforts, actors, and investments within the Promise Zone community;</li> <li>c. Extent to which the strategy aligns with, and leverages, existing evidence-based community or regional efforts related to Promise</li> </ul>	The narrative should make specific reference to those items listed under this criterion which are relevant to its situation and priorities, and note those items which it does not consider relevant. Applicants may also include items not listed under this criterion if they are relevant to the local strategy, with explanation.	
	<ul> <li>Zones outcomes;</li> <li>d. Extent to which the strategy is likely to improve outcomes for existing residents of the Promise Zone;</li> <li>e. Clear rationale with regard to priorities and sequencing within the strategy, including building on existing Promise Neighborhoods</li> </ul>	Optional: Logic models explaining the proposed strategy.	









	f. g. h. i.	implementation grants, Stronger Economies Together (SET), Rural Jobs Accelerator or Sustainable Communities efforts, as appropriate; Clear description of the interconnections between interventions across different policy areas (e.g., housing, education, transit, safety, economic development, and health); Clear plan to remove barriers and improve systems that impede delivery of services such as changes in policies, technology, and program reporting; Plan to manage, share, and use data for evaluation and continuous improvement – particularly where the evidence base for chosen strategies is still emergent; Clarity of definition of outcomes, including whether annual goals are set for 5 years and whether a system is in place for accountability and measurement; and Overall likely impact of the strategy's implementation within the Promise Zone.	
5	a. b. c. d.	idence base supporting the goals of the strategy's likelihood of: Creating jobs within the Promise Zone; Increasing economic activity within the Promise Zone; Improving cradle to career educational opportunities within the Promise Zone;	Required: Narrative summarizing the evidence base for strategy elements supporting each goal listed under this criterion. (Suggested limit of two pages)  Optional: Copies or web links to studies, cases or other evidence reviewed in the selection of approaches to incorporate into the community's strategy. Emphasize relevant excerpts/findings.





partnerships, including oversight processes and contractual





implementation partners no sooner than 60 days after

5	<ul> <li>4. Sustainability and financial feasibility of the strategy:</li> <li>a. Soundness of strategy to build a consortium of implementation partners that promotes sustainability of the Promise Zones strategy, including private, public or tribal partners and stakeholders;</li> <li>b. Leverage of private/non-profit or tribal capital already committed to elements of the strategy;</li> <li>c. Soundness of overall sustainability strategy, including future anticipated sources of funds and planning for contingencies including loss of anticipated funding or anticipated funding becoming available more slowly than anticipated.</li> </ul>	Required: Narrative summarizing strategy to achieve a financially feasible and sustainable operation in each major component of the applicant's strategy. (Suggested limit of two pages)  The narrative should make specific reference to those items listed under this criterion which are relevant to its situation and priorities, and note those items which it does not consider relevant. Applicants may also include items not listed under this criterion if they are relevant to the local strategy, with explanation.	
55	5 CAPACITY AND LOCAL COMMITMENT  The application must include information sufficient to demonstrate:  SUBMISSIONS, SECTION V		
10	<ol> <li>Soundness of the partnership structure:         <ul> <li>Clarity of roles and responsibilities, including factors such as:</li></ul></li></ol>	Required: Identification of lead applicant. Provide an organizational chart and accompanying narrative detailing your partnership structures, including the roles and responsibilities of each implementation partner organization and the accountability mechanisms. (Suggested three to four page limit)  Optional: Attach existing MOUs, partnership agreements, other evidence of arrangements among parties. These materials are exempt from the 25 page additional documentation limit.  Note: Upon designation, the Promise Zone lead	
	b. Strength of accountability mechanisms for ensuring effective	organization will be required to execute MOUs between	









	measures and remedies for non-performance.	selection as a Promise Zone.
15 (a and b: 12; c: 3)	Capacity of lead applicant – capacity of the organization leading the Promise Zone effort to achieve outcomes through implementation of multi-party, high-impact community or regional revitalization efforts. Points will be based on the following:  a. Degree to which prior experience of the lead organization is similar to, or has prepared the applicant for the scale, scope, and complexity of the proposed Promise Zone effort. In scoring under this factor, the reviewers will consider factors including the following, as appropriate to the situation of the proposed Promise Zone and proposed activities:  i. Role of current organizational leadership within the prior work;  ii. Previous success achieving intended outcomes;  iii. Previous success leveraging and managing public, private, or tribal capital investments; this can include loan and grant programs offered by various federal, state, and tribal entities, tribal equity programs for business development, and/or tribal investments in the local economy.  iv. Previous success identifying and managing multiple non-profit, for-profit, tribal, public sector and philanthropic partners toward successful project completion and positive outcomes. For tribal applicants, this may include previous success managing healthcare and/or first responder collaborations and partnerships; this may also include success with industries related to development	Required: Narrative describing the lead organization's capacity to achieve Promise Zone outcomes through implementation of multi-party, high impact community or regional revitalization efforts as described in the Selection Criteria. Provide examples of past relevant experience and results achieved, use of data to drive outcomes, and experience engaging citizens. (Suggested limit of two pages)









	of natural resources, (e.g., oil, gas, coal, forestry, mining,	
	fishing, or agriculture);	
	v. Previous success identifying and implementing evidence-	
	based strategies, either independently or through	
	partners; and	
	vi. For tribal applicants, evidence of advancing tribal self-	
	determination;	
	b. Demonstrated ability to manage, share, and use data for	
	evaluation and continuous improvement, or to engage and	
	manage capacity for such purposes; and	
	c. Extent of past experience in citizen engagement by the lead	
	applicant working directly with or overseeing partners	
	responsible for citizen engagement in similar efforts,	
	including:	
	i. Similarity between proposed Promise Zone activities and	
	the previous efforts of the organization responsible for	
	such engagement; and	
	ii. Extent of impact of citizen input on project design and	
	execution for those previous efforts.	
10	Capacity of implementation partner(s) to implement Promise Zone	Required: Narrative describing implementation partner
(a: 7.5;	strategy. In scoring for this factor, the reviewers will consider the	capacity to implement Promise Zone strategy as described
b: 2.5)	capacity of partners most relevant to each component of the	in the Selection Criteria, including examples of past
5. 2.5)	strategy. Points will be based on the following:	relevant experience and results achieved, use of data to
	a. Level of previous success of each implementation partner in	drive outcomes, and experience engaging citizen.
	identifying and implementing evidence-based strategies similar	Implementation partners are organizations that have a
	to those for which they would be responsible in the Promise	direct operational role to implement strategy. (Suggested
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	Zone, particularly to create jobs, increase economic activity,	four page limit)
	improve educational opportunities, or reduce serious and violent	









	crime within a specified geographic area;	Note: See "Definitions and Clarifying Information" section
	<ul> <li>b. Extent of past experience in citizen engagement by the organization responsible for such engagement, including the factors listed below. If the initiative lead is taking direct responsibility for citizen engagement activities, these points will be distributed to the others aspects of implementation partner capacity: <ol> <li>i. Similarity between proposed Promise Zone activities and the previous efforts of the organization responsible for such engagement; and</li> <li>ii. Extent of impact of citizen input on project design and execution for those previous efforts.</li> </ol> </li> </ul>	for a definition of Implementation Partners.
10	4. Strength/extent of local or tribal government commitment (not contingent upon receipt of Promise Zone designation) to target local funds and locally-controlled funds from other sources toward evidence-based strategies to achieve Promise Zone outcomes within the Promise Zone.	Required: Letter from local government executive that describes the commitment of local government to coordinate work and investments, including targeting of local and locally-controlled funds from other sources toward Promise Zone activities. Tribal applicants may submit a copy of resolution by Tribal government(s). (Suggested two page limit)  Note: See Footnotes 1 and 3 for approval delays.
10	5. Strength/extent of partnership commitment (not contingent upon receipt of Promise Zone designation) to coordinate work and investments through evidence-based strategies to achieve Promise Zone outcomes within the Promise Zone. Examples of such partnership commitments may include, as appropriate for the context of the proposed Promise Zone, but are not limited to the	Required: Narrative that describes commitments and the extent of partnerships with organizations that will not carry out day-to-day work of initiative, but will contribute resources or advise on the direction of the strategy regardless of the Promise Zone designation. (Suggested









### strength/extent of:

- a. Local anchor institution commitment (e.g., hospitals, colleges/universities, major employers and business leaders, national and community foundations) to actions and investments likely to achieve Promise Zone outcomes;
- b. Commitment from city, county, or other local governmental entities, regional planning authorities, tribal government(s), and state officials, as appropriate, as demonstrated through their description of activities to be carried out in coordination with the Promise Zone;
- c. Commitment of local educational officials, criminal justice officials, economic development entities, workforce investment board, and community development advocates as demonstrated through their description of activities to be carried out in coordination with the Promise Zone;
- d. Involvement by citizens and community organizations in development of overall strategy and commitment to continued involvement;
- e. Involvement of community-serving businesses and/or business associations; and
- f. Commitment to share data across partners within the Promise Zone for purposes of program improvement and accountability.

### two page limit)

*Note:* See "Definitions and Clarifying Information" section for a definition of Supporting Partners.

Note: See Footnotes 1 and 3 for approval delays.

*Note:* Public reporting burden for this collection of information is estimated to average 48 hours. This includes the time for collecting, reviewing, and reporting the data. The information is being collected for OMB #2577-0279. Response to this request for information is required in order to receive the benefits to be derived. This agency may not collect this information, and you are not required to complete this form unless it displays a currently valid OMB control number. No confidentiality is assured.









#### **DEFINITIONS AND CLARIFYING INFORMATION**

Lead applicant/lead organization: The lead applicant is the organization that will, if selected, act as lead organization for a designated Promise Zone. The lead organization will execute a Promise Zone designation agreement and be responsible to the federal agencies for fulfilling the responsibilities of the Promise Zone designation. These responsibilities will include organizing and/or coordinating activities pursuant to the strategy proposed in the designated community's application, and administering any funding or other benefits that designation may confer in the future to designated Promise Zones. The lead organization will also be responsible for tracking outcomes, periodically reporting to the participating federal agencies, and participating in evaluation activities from time to time as requested by federal agencies. The lead organization will provide certifications to other organizations applying for grants and other benefits that, if received, would help to advance the Promise Zone strategy. Organizations receiving such certifications will provide them in the context of federal funding competitions and the conferring of benefits to designated Promise Zones.

To the extent that the lead organization is unable to directly perform any of these duties it will delegate them specifically to an implementation partner organization, and continue to oversee the fulfillment of all of the responsibilities under the Promise Zone designation agreement. The lead organization will be responsible for replacing the roles that implementation partners and other partners may play in the Promise Zone strategy in the event that one or more such partners are unable to fulfill their responsibilities as planned. Transferral of the lead organization to another organization than the lead applicant will require approval by federal agencies, pursuant to the terms of the Promise Zone designation agreement.

<u>Implementation partner organization:</u> An implementation partner organization is an organization that commits to fulfill specific responsibilities to carry out the day-to-day work and operations of the Promise Zone strategy, as detailed in the community's Promise Zone application and any amendments, documents referenced in the Promise Zone designation agreement, and other documents that may exist among the partner organizations in the Promise Zone strategy.

<u>Supporting partner organization:</u> A supporting partner organization is an organization that will not carry out day-to-day work of initiative, but will contribute resources or advise on the direction of the strategy.

<u>Examples of local or tribal government and other partner commitment:</u> Commitments may be made to the Promise Zone strategy by many organizations acting in the community in ways that support Promise Zone strategy and goals. The level of intensity and duration of such









commitments may range from occasional assistance and expressions of general support, to the ongoing roles and day-to-day responsibilities taken on by implementation partners, to the lead organization's responsibility for overall coordination, reporting and delivery of results. Examples of commitments that would be less intensive and consistent than those of an implementation partner might include in-kind donations of the use of meeting space, equipment, telecommunications services, or staffing for particular functions; letters or other expressions of support for Promise Zone activities and applications for resources at the local, tribal, state and federal level; participation in steering committees or other advisory bodies with respect to the overall Promise Zone strategy or particular elements of it; permanent donations of funding, land, equipment, facilities or other resources; or the provision of other types of support without taking on a formal role in the day-to-day operations and advancement of the Promise Zone strategy as described in the definitions of implementation partner or lead organization.